

# SJ Exhibit 28

JAMES GARAVAGLIA, )  
)  
Plaintiff, )  
)  
v. ) Case No. 4:20-CV-1681-CDP  
)  
CITY OF ST. LOUIS, *et al.*, )  
)  
Defendants. )

5. Regulation No. 103 permits an employee to file a formal written complaint directly with the City's Department of Personnel by completing and signing the City's Equal Employment Opportunity Complaint Form ("EEO Complaint Form").

6. The City's Employee Code of Conduct (the "Code of Conduct") also informs City employees of the City's policy that prohibits discrimination and retaliation, and similarly advises employees who believe they have been the victim of discrimination, harassment and/or retaliation, to bring their concerns to their supervisor, appointing authority or the Department of Personnel Employee Relations Section.

7. The Employee Relations Section of the Department of Personnel receives and investigates complaints lodged under Regulation No. 103.

8. Attached hereto and fully incorporated herein as Exhibit A is a true and accurate copy of Regulation No. 103, effective April 11, 2011.

9. Attached hereto and fully incorporated herein as Exhibit B is a true and accurate copy of the EEO Complaint Form.

10. Attached hereto and fully incorporated herein as Exhibit C is a true and accurate copy of the Code of Conduct.

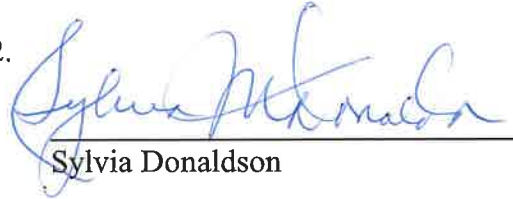
11. The City's Department of Personnel maintains a personnel file related to James Garavaglia's former employment with the City.

12. This personnel file contains several written acknowledgments signed by James Garavaglia throughout the course of his employment with the City, including an acknowledgement that he had read and received a copy of the Equal Employment Opportunity Policy and Complaint Procedure and agreed to report any incident covered under the EEO Policy and Complaint Procedure therein specified, and several acknowledgments that he had read, understood and would comply with the provisions of the Code of Conduct, and by which, he further agreed that, should he become aware of any violations of the Code of Conduct, he would notify his supervisor, appointing authority or the Department of Personnel immediately.

13. Upon conducting a search of the City's Department of Personnel file including, without limitation, a search of Mr. Garavaglia's personnel file, I did not find any evidence that Mr. Garavaglia ever reported or complained that he believed that he was a victim of, or otherwise subjected to, any type of discrimination, harassment or retaliation.

Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the foregoing is true and correct.

Executed on this 22nd day of April, 2022.



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Sylvia Donaldson

*City of St. Louis Department of Personnel Administrative  
Regulation NO. 103*

EQUAL EMPLOYMENT OPPORTUNITY POLICY AND COMPLAINT  
PROCEDURE

Effective: April 11, 2011

This policy prohibits discrimination on the basis of race, color, national origin, ancestry, age (40 years and older), disability, religion, sex, sexual orientation, gender identity or expression, marital status or genetic information in connection with terms or conditions of employment covered by this administrative regulation. This policy prohibits retaliation against an employee who files a complaint and employees who report discrimination or who cooperate or participate in an investigation of a complaint of discrimination.

I. PURPOSE:

The Equal Employment Opportunity (EEO) Policy and Complaint Procedure serves the following functions:

- A. To establish a system to assist the City of St. Louis with identifying and remedying those conditions that could result in legitimate complaints of discrimination based on race, color, national origin, ancestry, age (40 years and older), disability, religion, sex, sexual orientation, gender identity or expression, marital status, genetic information and/or retaliation;
- B. To establish a procedure that will insure alleged acts of discrimination and/or retaliation are brought to the attention of supervisory and management personnel for timely investigation and resolution;
- C. To provide a means by which an employee in the classified service who believes he/she has experienced discrimination and/or retaliation can file a complaint.

It is the responsibility of supervisory and management personnel to identify and eliminate all situations and conditions that could result in legitimate complaints of discrimination on the basis of race, color, national origin, ancestry, age (40 years and older), disability, religion, sex, sexual orientation, gender identity or expression,

marital status, genetic information and/or retaliation. This complaint process provides alternate complaint routes, so that the complainant will have choices in reporting acts of alleged discrimination. The informal complaint procedure encourages management to resolve complaints at the department level, with immediate and appropriate corrective action taken in consultation with and oversight provided by the Department of Personnel. Alternatively, the formal complaint process provides for direct investigation and resolution rendered by the Department of Personnel.

## II. GENERAL PROVISIONS:

### A. The following definitions are applicable to the EEO Policy and Complaint Procedure:

1. Discrimination is unfair treatment based on race, color, national origin, ancestry, age (40 years and older), disability, religion, sex, sexual orientation, gender identity or expression, marital status or genetic information as it relates to terms or conditions of employment covered by this administrative regulation;
2. Complainant is a person who has filed a complaint of discrimination or retaliation under this regulation;
3. Employee Relations Section is the designated area in the Department of Personnel charged by the Director of Personnel with responsibility for administering the EEO Policy and Complaint Procedure;
4. Diversity Counselor is an employee of the classified service of the City of St. Louis who has been designated by his/her appointing authority to provide consultation to employees regarding the provisions of this policy and procedures, receive complaints of discrimination, report said complaints to the appointing authority/designee and to consult with the Employee Relations Section of the Department of Personnel as needed.

### B. The following complaints are addressed by this procedure:

1. Allegations of discrimination based on race, color, national origin, ancestry, age (40 years and older),

disability, religion, sex, sexual orientation, gender identity or expression, marital status and genetic information;

2. Allegations of retaliation based on an employee's use or attempted use of this complaint process, participation or cooperation in the EEO complaint process or reporting of a violation of this policy;

3. Not encompassed by this regulation is the appeal of any disciplinary action(s) taken by the appointing authority against a complainant, prior to the receipt a complaint, which may or may not be under review by the Civil Service Commission. Nor is the appeal of an unsatisfactory service rating and Mandatory Improvement Plan appropriately addressed by this complaint process, in that there is an established service rating appeal process available to employees.

C. The responsibility and authority of the Director of Personnel (or his/her designee) includes the following:

1. To terminate a complaint at any step of the EEO Complaint Procedure, if it is not filed in a timely manner, if it is determined that the complaint is not within the scope of this procedure, or if it is determined that the complaint is unsubstantiated or without merit;

2. To combine complaints for the purposes of review and resolution in those instances where a pattern of discrimination is alleged to exist, or where there are a number of complaints regarding a common employment practice;

3. To examine personnel records and files, to question witnesses or other City employees who may have relevant information, to review all information gathered by the operating department during the investigation of a complaint and to take all other appropriate action necessary to thoroughly investigate a complaint.

### III. PROCEDURE:

The EEO Complaint Procedure is available to all employees in the classified service. A complaint should be reported within ten (10) days of the occurrence which an employee determines to be discriminatory or retaliation for using or attempting to use the EEO Complaint Procedure; or, within the Formal Complaint Process, within ten (10) calendar days of the conclusion of an investigation conducted under the Informal Complaint Process when the results are determined by the complainant to be unsatisfactory.

All information, documentation and decisions pertaining to this procedure will be handled in as confidential a manner as possible. Any employee who violates this regulation, or any unwarranted breach of confidentiality regarding a complaint, will be considered a violation of the procedure and can result in disciplinary action up to and including dismissal.

Following are steps to be pursued in filing, investigating and resolving complaints under the EEO Complaint Procedure:

**A. STEP 1 THE INFORMAL COMPLAINT PROCESS:**

1. The complainant and/or his/her representative will report the complaint to one of the following verbally and/or in writing: The employee's immediate supervisor or the employee's appointing authority/designee or the diversity counselor in the employee's department;
2. Within three (3) calendar days of the receipt of a complaint, the appointing authority/designee should begin an investigation. The appointing authority/designee can consult with the Department of Personnel regarding any questions about the complaint and /or appropriate steps to take in the investigation;
3. The investigation should be completed within twenty-one (21) calendar days of the complaint being filed, unless an extension is requested and granted by the Director of Personnel. (If the extension is not granted, the complaint shall be forwarded to the Department of Personnel for completion of the investigation.);
4. The results of the appointing authority's investigation shall be shared with complainant and a written summary of the complaint, investigation and resolution shall be filed



with the Employee Relations Section in the Department of Personnel within thirty (30) calendar days of the complaint being filed.

**B. STEP 2 THE FORMAL COMPLAINT PROCESS:**

1. If the complaint is not resolved satisfactorily at Step 1 (because the complainant is dissatisfied with the resolution or because a resolution has not been proposed within twenty-one (21) calendar days of the complaint being filed or if the complainant prefers to file a formal written complaint directly with the Department of Personnel), he/she should fill out an EEO Complaint form, which can be obtained by contacting the Employee Relations Section in the Department of Personnel, the Internet, or from his/her supervisor or diversity counselor;
2. When completing an "EEO Complainant" form, employees are encouraged to provide as much detail as possible, including dates, times, witnesses, etc. in order to facilitate a prompt and thorough investigation. The form must include factual information and the reason(s) why the employee believes that the action(s) taken against him/her were in violation of this regulation. It must also include a recommendation for a resolution that is satisfactory to the complainant;
3. Upon receipt of the completed EEO complaint form, the Director of Personnel or his/her designee shall within five (5) calendar days notify the appointing authority in writing of the specific allegation(s) and request that a position statement be submitted within fifteen (15) calendar days. The Employee Relations Section shall then conduct an investigation and submit a summary and recommendation to the Director of Personnel for review and consideration within thirty (30) calendar days of the commencement of the investigation, unless an extension is granted by the Director of Personnel;
4. If the finding is that the complaint is substantiated, the Employee Relations Section will notify the Director of Personnel of the outcome and the Director of Personnel

will send a letter to the complainant, with a copy to the appointing authority, announcing the result and recommending that a resolution be pursued;

5. If agreement is reached, the complaint resolution will be reviewed by the Director of Personnel prior to signature by the appointing authority/designee, and the complainant. After these signatures have been affixed, the Director of Personnel or his/her designee will then sign the agreement verifying the stipulation. Copies of the agreement will be given to the signatories. The original document will be filed in the Employee Relations Section of the Department of Personnel, with a copy given to the Director of Personnel;

6. If the finding is that the complaint is unsubstantiated or cannot be resolved, the Employee Relations Section will notify the Director of Personnel of the outcome and the Director of Personnel will send a letter to the complainant with a copy to the appointing authority announcing the result.

C. Compensation: Employees who are required to participate in the investigation process by his/her appointing authority/designee or the Department of Personnel will be paid their salaries. If they are off duty and would be entitled to overtime pay under the compensation ordinance, they shall be paid accordingly.

#### **IV. PROTECTION AGAINST RETALIATION:**

The City of St. Louis prohibits retaliation against employees who file complaints of discrimination, as well as employees who report discrimination of another employee, or individual encountered in the workplace, such as a vendor, client or customer, or who cooperated or participate in an investigation of discrimination. Therefore:

A. Employees are required to immediately report any retaliation as defined above to the Employee Relations Section of the Department of Personnel;

B. Any complaint of retaliation will be handled in accordance with the formal complaint process set forth in Section III. B. of this regulation;

C. Any individual who retaliates against any person making a complaint under this procedure, reporting a violation of this regulation or assisting in a discrimination investigation will be subject to appropriate disciplinary action, up to and including dismissal.

V. RECORDS:

A. Written documentation of any investigation conducted under this procedure shall be kept for a minimum period of five (5) years;

B. Appointing authorities are required to issue a copy of this regulation to every employee under their authority. Issuance of the regulation must be documented by having the employee and issuing supervisor sign the attached "Acknowledgement" form. One copy of the form must be filed with the Department of Personnel, Employee Relations Section within five (5) working days of issuance. One copy should be retained by the operating department or agency, and one given to the employee.

Employees are prohibited from filing false discrimination or retaliation complaints, which if confirmed, will subject the employee to disciplinary action. Questions regarding the EEO Policy and Complaint Procedure should be referred to the Employee Relations Section of the Department of Personnel at 622-3563.

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Richard R. Frank  
Director of Personnel

April 11, 2011  
Attachment

One copy to employee  
One copy for department  
Original to Department of Personnel-Employee Relations Section

ACKNOWLEDGEMENT

I, (Print Name) \_\_\_\_\_ HAVE READ AND RECEIVED A COPY OF THE EQUAL EMPLOYMENT OPPORTUNITY POLICY AND COMPLAINT PROCEDURE. I UNDERSTAND THAT AS A CONDITION OF EMPLOYMENT, I WILL REPORT ANY INCIDENT COVERED UNDER THE EEO POLICY AND COMPLAINT PROCEDURE THEREIN SPECIFIED.

SIGNED: \_\_\_\_\_ DATED:

\_\_\_\_\_

DEPARTMENT: \_\_\_\_\_ DIVISION:

\_\_\_\_\_

I certify that the employee named above was provided a copy of the City's Policy on EEO Policy and Complaint Procedure and a copy of this form on the date indicated above.

\_\_\_\_\_  
Supervisor's/Manager's Signature

\_\_\_\_\_  
Class Title

\_\_\_\_\_  
Department

\_\_\_\_\_  
Date

This Acknowledgement must be signed and dated by the employee and the issuing supervisor/manager and retained by the employee.

DOP 4/11

EEO Complaint Form



**CITY OF ST. LOUIS  
DEPARTMENT OF PERSONNEL**

**EQUAL EMPLOYMENT OPPORTUNITY COMPLAINT**

Complaint Number (for Personnel's use only) \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_ Home/Cell Phone \_\_\_\_\_

Street Address \_\_\_\_\_ Work Phone \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Job Title \_\_\_\_\_ Department/Division \_\_\_\_\_

Work Location \_\_\_\_\_

Alleged Discrimination was based on (check appropriate box/boxes):

Race or Color....[ ]    National Origin/Ancstry....[ ]    Age (40 years and older)....[ ]    Disability....[ ]  
 Religion....[ ]    Sex....[ ]    Sexual Orientation....[ ]    Gender Identity or Expression....[ ]  
 Marital Status....[ ]    Retaliation....[ ]    Sexual Harassment....[ ]    Genetic Information....[ ]

Date of most recent discriminatory act: \_\_\_\_\_

Check if continuing discrimination....[ ]

Explain what discriminatory action was taken against you. Be specific: include dates, names of individual(s) who committed discriminatory acts, names of any witnesses to the discriminatory action(s), places, etc. for all incidents. Also, include any other evidence that supports the alleged act(s) of discrimination. If more space is required, use an additional sheet of paper, and be sure to sign and date each additional sheet of paper used.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Have you previously reported any of the discriminatory acts alleged in this complaint to your immediate supervisor, your appointing authority or designee, or the diversity counselor in your department, and if so, to whom did you report such act(s) and when did you report such act(s)?

\_\_\_\_\_

Resolution Requested:

\_\_\_\_\_  
 \_\_\_\_\_

I declare that the above statements are true and accurate to the best of my knowledge, information, and belief.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

REV 04/11

# EMPLOYEE CODE OF CONDUCT



**City of St. Louis**  
**Lyda Krewson, Mayor**

We recognize that City employees have responsibilities to various groups:

- The public
- Elected officials who represent the public
- Their appointing authorities and supervisors
- Fellow employees
- Representatives of other agencies/organizations

These unique responsibilities require each of us to act with honor, faithfulness, loyalty, fairness and due diligence in conducting our job duties; and require us to report improper, unethical or unlawful behavior.

City employees must, at all times, comply with all applicable laws and regulations. Failure to comply with all applicable laws and regulations or unethical behavior in connection with the performance of an employee's duties will not be condoned or permitted. The City does not permit any activity that fails to stand the closest possible public scrutiny.

Any employee who is arrested, charged, indicted and/or convicted of any criminal charge that occurs on or off duty, whether engaged in City business or not, is required to report the arrest, charge, indictment or conviction to his/her appointing authority within five (5) calendar days of the arrest, charge, indictment or conviction. Any employee who fails to comply with this requirement will be subject to disciplinary action up to and including dismissal.

## **RESPONSIBILITIES**

**The City and its Appointing Authorities are responsible for:**

- Setting an example of competence and appropriate ethical behavior
- Implementing and abiding by this Code of Conduct
- Ensuring that all employees receive a copy of the Code of Conduct and returning the signed copies to the official Department of Personnel files upon initial hire, and thereafter on an annual basis as part of the employee's annual service rating
- Providing job training for all employees
- Emphasizing acceptable standards of performance for each job
- Clarifying City policies and procedures for all employees who might be unclear as to what is appropriate behavior
- Providing working conditions which enable City employees to accomplish their assigned duties fairly and safely

- Providing a workplace environment that encourages open communication, free of fear of reprisal, in the belief that respectful honesty is the surest way to identify problem areas, address them and resolve them
- Providing an avenue for employees to report alleged violations of this Code to their supervisor, appointing authority or the Department of Personnel

**City Supervisors are responsible for:**

- Setting an example of competence and appropriate ethical behavior
- Teaching all employees under their supervision how to do their jobs within the guidelines of this Code
- Emphasizing acceptable standards of performance to all employees
- Emphasizing and clarifying City policies and procedures for all employees
- Managing their area of responsibility, and the actions of their staff in accordance with this Code
- Maintaining a workplace environment that encourages open communication, free of the fear of reprisal, in the belief that respectful honesty is the surest way to identify problem areas, address them fairly, and resolve them

**City Employees are responsible for:**

- Competence and ethical behavior
- Reading, signing, and agreeing to abide by the provisions of this Code of Conduct upon initial employment and on an annual basis thereafter
- Regularly reviewing this Code and comparing their own behavior to the responsibilities and standards described in this Code
- Performing their job within the guidelines of this Code
- Meeting acceptable standards of performance
- Following City policies and procedures
- Contributing to a workplace attitude that respects the standards and behaviors promoted by this Code
- Seeking assistance when they are uncertain about the right thing to do
- Ensuring that their own actions are not illegal, unethical, or in violation of the rules and regulations of the City of St. Louis
- Reporting alleged violations of this Code of Conduct to their supervisor, appointing authority, or the Department of Personnel

**STANDARDS OF BEHAVIOR**

The City of St. Louis is committed to protecting its revenue, property, information and other assets from any attempt, either by members of the public, contractors, vendors, agents or its own employees to gain, by deceit, financial or other benefits at the expense of the City taxpayers.

**Work Rules**

This Code of Conduct is intended to supplement the Civil Service Rules of the City of St. Louis, the Administrative Regulations of the Department of Personnel and other City and departmental work rules, regulations, policies and procedures. Employees shall be held accountable for following all such established work rules, in addition to the standards of behavior outlined in this Code of Conduct.

## **Discrimination/Harassment**

The City of St. Louis prohibits discrimination and/or harassment on the basis of race, color, national origin, ancestry, age (40 years and older), disability, religion, sex, sexual orientation, gender identity or expression, marital status and genetic information and prohibits retaliation for filing a complaint or cooperating or participating in an investigation of a complaint of discrimination or harassment. The City supports merit system principles that assure equality and equal opportunity. If an employee believes he/she has been the victim of discrimination, harassment and/or retaliation, the employee should bring his/her concerns to his/her supervisor, appointing authority or the Department of Personnel Employee Relations Section. Additionally, if an employee has questions or concerns with an issue involving the Americans with Disabilities Act, he/she may also bring his/her concerns to the attention of the City's Commissioner on the Disabled.

## **Violence**

The City of St. Louis has zero tolerance for work related violence or threats of violence regardless of when or where they occur, both on and off duty. Please refer to the current Department of Personnel Administrative Regulation "Policy on Workplace Violence."

## **Confidential Information and Records**

As a part of an employee's job, he/she may have access to confidential information and records. This information should not be disclosed to fellow employees who do not have a business need to know or to non-employees for any reason, except in accordance with established procedures. Questions regarding the confidentiality of information should be directed to an employee's supervisor, the custodian of records for his/her department/division or the City Counselor's Office.

## **Political Activities**

Civil Service employees may be a member of a political organization, such as a ward organization, but may not be an officer of such an organization. An employee may contribute money in support of individual candidates for elected office, but may not be coerced or forced in any way to make a contribution. The Civil Service Rules allow yard signs at an employee's residence, a bumper sticker on any vehicle not used on City business and wearing political buttons when not on duty. The Civil Service Rules prohibit an employee in a competitive position in the classified service from taking an active part in a partisan political campaign, including but not limited to distributing literature, acting as a worker at the polls, calling voters on the telephone or circulating petitions. Please consult the Civil Service Rules for additional information regarding this subject or contact the Department of Personnel.

## **Conflicts of Interest**

The City expects that employees will perform their duties conscientiously, honestly, and in accordance with the best interest of the public. Employees must not use their position or knowledge gained as a result of their position for private or personal advantage.

Employees should continually be mindful that they are hired and paid to perform certain duties. Situations may arise, however, when there seems to be a conflict between their official responsibilities and their personal interests. These may be situations involving financial dealings, spending City funds, regulating businesses or individuals, purchasing supplies or materials or contracting for services. In order to avoid an impropriety – or giving the appearance of an impropriety – employees should alert their supervisors immediately of such conflicting situations. If the employee and the supervisor are unclear about the appropriate path to follow, the matter should be promptly referred to the City Counselor's Office.



Civil Service Rules allow employees, with the approval of their appointing authority, to hold a second job with some non-governmental employers. However, the employee must report all such employment to his/her appointing authority and receive approval of said secondary employment from his/her appointing authority prior to starting same. If an employee changes his/her secondary job, or the nature of his/her secondary job changes the employee must first obtain the written permission of the appointing authority. Please refer to the current Department of Personnel Administrative Regulation regarding Secondary Employment for further information.

### **Nepotism**

Both the Missouri Constitution and the Civil Service Rules prohibit nepotism such that “Any public officer or employee in this state who by virtue of his office or employment names or appoints to public office or employment any relative within the fourth degree, by consanguinity or affinity, shall thereby forfeit his office or employment.” Further, Civil Service Rule VII, Section 12 states that no person in the classified service shall be transferred, promoted or by any other means placed in a position whereby they would be directly supervised by any relative within the second degree of consanguinity or affinity. The Director shall not knowingly certify any applicant, or approve any personnel action, which may result in a violation of the foregoing provisions. Appointing authorities shall not knowingly take such actions.

Relatives related by consanguinity (i.e. blood relative) and affinity (i.e. related to spouse/domestic partner) are described hereafter:

#### Relations to the Fourth degree of Self or Spouse/Domestic Partner

Spouse, Domestic Partner

First Degree: Child, Parents

Second Degree: Grandchild, Brother/Sister, Grandparents

Third Degree: Great Grandchild, Niece/Nephew, Aunt/Uncle, Great Grandparents

Fourth Degree: Great Great Grandchild, Grand Niece/Nephew, First Cousin, Great Aunt/Uncle, Great Great Grandparents

Finally, in all instances, employees are prohibited from giving preferential treatment or favoritism to relatives or relatives of a spouse/domestic partner. Employees are encouraged to direct any questions to the Department of Personnel Employees Relations Section.

### **Relationships with Third Parties**

Employees are prohibited from having a personal interest, directly or indirectly, in a contract with the City. City employees must not allow their personal interests or relationships with third parties to influence, or create the impression of influencing, their decisions in the performance of their duties on behalf of the City.

### **Gifts, Favors, Entertainments**

Employees are expected to perform their duties in a fair and even-handed manner and are prohibited from taking payment, money, gifts, loans, meals, beverages and/or lodging, or other items of value from anyone in exchange for performing their duties. Delivery of services should be able to stand up to full public disclosure and should in no way be granted or withheld because of gifts, favors or other considerations offered to an employee. While acceptance of a minimal gift of less than \$375 in value is permitted when not given in exchange for the performance of duties, even this is discouraged if the gift is from a firm

that does business with the City, since this may be viewed by some members of the public as an attempt to influence on-the-job actions or future decisions. By City ordinance an employee is required to report to the City Register any gift to them or a family member that exceeds \$375 in value from an interested person. An interested person is defined here as any person or member of a business organization who conducts a business specifically regulated by the City; currently has or is seeking a contractual relationship with the City to provide goods or services to the City or any agency or department thereof; is seeking employment with the City or any agency thereof; or who is interested in establishing such a business relationship with the City. In all such matters involving gifts, the primary consideration is that the donor does not receive – or appear to receive – treatment not given to any other citizen. An employee's acceptance of payment or gifts in exchange for performing his/her duties will result in disciplinary action up to and including dismissal. If an employee has any concern about the wisdom, legality or honorability of accepting a gift, this concern should be brought to the attention of his/her supervisor, appointing authority, or the City Counselor's Office.

### **Kickbacks, Secret Commissions, Bribes, and Payoffs**

The City strictly prohibits the acceptance of kickbacks, secret commissions, bribes and pay-offs from suppliers or others. Any breach of this rule will result in immediate dismissal and prosecution to the fullest extent of the law.

### **City Funds**

Whenever a City employee is responsible for handling cash or other financial matters, the job of the employee is to document every aspect of the transaction fully and completely. All City cash and bank accounts must be handled so as to avoid any question of bribery, kickbacks, other illegal/improper payments or suspicion of any impropriety whatsoever.

### **Expense Reports**

When an employee incurs an approved expense or spends his/her own funds on City needs, that expense must be documented promptly and properly on the forms provided by his/her appointing authority.

### **Use of City Assets and Equipment**

City assets and equipment are for City purposes only and not for personal benefit. The personal use of City assets including, but not limited to vehicles, computers and other supplies is prohibited.

### **Records and Communications**

Accurate and reliable records of many kinds are necessary to meet the City's legal and financial obligations and to manage the affairs of the City. The City's books and records must reflect in an accurate and timely manner all transactions. The employees responsible for accounting and record keeping must exercise diligence in fulfilling their job duties.

Employees must not make any misleading representations or falsify any record or engage in false communication of any kind, whether internal or external, including but not limited to making or filing any false expense, attendance, production, financial, or similar reports and statements.

### **Dealing with the Public and Organizations**

Employees are prohibited from speaking on behalf of the City, or from representing to the public that their comments or statements are those of the City, unless expressly authorized to do so.

**Prompt Communications**

Employees should respond to all communications in a complete, accurate and timely manner. City employees are expected to respond promptly and courteously to all proper requests for information and to all complaints.

**Safety and Health**

Maintaining a healthy workforce and ensuring the safety of every employee should be the job of each employee, regardless of his/her assignment. Accordingly, each employee is responsible for attending any required safety meetings and reading safety instructions regarding their workplace. All employees must comply with all safety rules and regulations. An employee should promptly report any unsafe condition or any accident to their supervisor, even in cases where there was no injury or property damaged.

**Honesty**

City employees should be completely honest in their dealings with the public, elected officials, appointing authorities, supervisors and fellow employees. Lying in any form, omitting some facts or exaggeration undermines the fundamental trust that must exist between employer and employee, and has no place in public service.

**Discussion, Dissent, Support**

When deciding on a course of action, City supervisors frequently rely on the views and opinions of their employees. In such cases, an employee is obliged to give as much information as possible, and his/her own best opinion, to the supervisor before the matter is decided. However, once the supervisor has reached a decision it is the duty of all members of the City Service to do all in their power to make it succeed.

**Reporting Fraud and Other Irregular Activities**

As they perform their duties, City employees should be alert to situations in which other employees commit or are about to commit acts which violate the law or this Code of Conduct. Illegal, unethical or dishonest actions harm us all. Each City employee, therefore, has a responsibility and duty to report a co-worker's illegal or unethical conduct to his/her supervisor, appointing authority or the Department of Personnel.

**Penalties**

Any violation of this Code of Conduct will subject the violator to disciplinary action up to and including dismissal.

**Documentation**

Appointing authorities are required to issue a copy of the Code of Conduct to every employee under their authority. Issuance of the Code must be documented by having the employee and issuing supervisor or payroll clerk sign the "Acknowledgement" form issued by the Department of Personnel. The original of the form must be filed with the Department of Personnel within 5 (five) working days of issuance. One copy should be retained by the operating department or agency, and another copy given to the employee.

Published by:  
Department of Personnel  
City of St. Louis  
1114 Market Street, Room 700  
St. Louis, MO 63101-2043

REVISED 7/2017

Original to Department of Personnel  
Copy to Employee  
Copy to Department

## **ACKNOWLEDGEMENT**

I, (Print Name) \_\_\_\_\_  
HAVE READ, UNDERSTAND AND AM IN COMPLIANCE WITH THE  
PROVISIONS OF THE CODE OF CONDUCT. I AM NOT AWARE OF  
ANY VIOLATIONS OF THIS CODE OF CONDUCT AT THIS TIME.  
SHOULD I BECOME AWARE OF ANY VIOLATIONS OF THIS CODE  
OF CONDUCT, I WILL NOTIFY MY SUPERVISOR, APPOINTING  
AUTHORITY OR THE DEPARTMENT OF PERSONNEL IMMEDIATELY.

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

Department: \_\_\_\_\_

Division: \_\_\_\_\_

I certify that the employee named above was provided a copy of the  
Employee Code of Conduct and a copy of this form on the date  
indicated above.

\_\_\_\_\_  
Supervisor/Manager/Payroll Clerk Signature

\_\_\_\_\_  
Class Title

\_\_\_\_\_  
Department

\_\_\_\_\_  
Date

Revised 7/2017